

ASSISTANCE PROGRAMS FOR INCLUSION IN THE CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA)

I. Purpose

This directive establishes the Department of Homeland Security (DHS) policy for submitting program information, for programs that provide assistance to non-federal entities, to the General Services Administration (GSA) for inclusion into the Catalog of Federal Domestic Assistance (CFDA).

II. Scope

The directive applies to all DHS organizational elements that award grants, cooperative agreements or other assistance to non-federal entities for a public purpose.

III. Authorities

- A. Federal Program Information Act, 31 U.S.C. §§ 6101-6104.
- B. Office of Management and Budget Circular A-89, Federal Domestic Assistance Program Information.

IV. Definitions

The following definitions have been extracted from OMB Circular A-89 or the General Services Administration's "CFDA Reference Manual for Agency Liaisons and Staff" (GSA/CFDA Reference Manual).

- A. ***Catalog of Domestic Assistance***: The Catalog of Federal Domestic Assistance is the single, authoritative, Government-wide comprehensive source document of Federal domestic assistance program information produced by the executive branch of the Federal Government. The Catalog is a guide to all domestic assistance programs and activities regardless of dollar size or duration.

- B. **"Assistance" or "Benefits"**: Refers to the transfer of money, property, services, or anything of value, the principal purpose of which is to accomplish a public purpose of support or stimulation authorized by Federal statute. Assistance includes, but is not limited to grants, loans, loan guarantees, scholarships, mortgage loans, insurance, and other types of financial assistance; provision or donation of Federal facilities, goods, services, property, technical assistance, counseling, statistical, and other expert information; and service activities of regulatory agencies. It does not include provision of conventional public information services.
- C. **Administering Office**: Means the lowest subdivision of any Federal agency that has direct operational responsibility for managing a Federal domestic assistance program.
- D. **Federal Agency**: Means any agency as defined by Section 551(1) of Title 5, United States Code.
- E. **Federal Domestic Assistance Program**: A "federal domestic assistance program" is any function of a Federal agency that provides assistance or benefits for a State or States, territorial possession, county, city, other political subdivision, grouping, or instrumentality thereof; any domestic profit or nonprofit corporation, institution, or individual, other than an agency of the Federal Government. A Federal domestic assistance program may in practice be called a program, an activity, a service, a project, a process, or some other name, regardless of whether it is identified as a separate program by statute or regulation. It will be identified in terms of its legal authority, administering office, funding, purpose, benefits, and beneficiaries.
- F. **Types of Assistance**: The following definitions have been extracted verbatim from OMB Circular A-89 or the General Services Administration's "CFDA Reference Manual for Agency Liaisons and Staff."

1. Financial Assistance Programs:

- a. **Formula Grants**: Allocations of money to States or their subdivisions in accordance with distribution formulas prescribed by law or administrative regulation, for activities of a continuing nature not confined to a specific project.
- b. **Project Grants**: The funding, for fixed or known periods, of specific projects. Project grants can include fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, and construction grants.

c. Direct Payments for Specified Use: Financial assistance from the Federal government provided directly to individuals, private firms, and other private institutions to encourage or subsidize a particular activity by conditioning the receipt of the assistance on a particular performance by the recipient. This does not include solicited contracts for the procurement of goods and services for the Federal government.

d. Direct Payments with Unrestricted Use: Financial assistance from the Federal government provided directly to beneficiaries who satisfy Federal eligibility requirements with no restrictions being imposed on the recipient as to how the money is spent. Included are payments under retirement, pension, and compensatory programs.

e. Direct Loans: Financial assistance provided through the lending of Federal monies for a specific period of time, with a reasonable expectation of repayment. Such loans may or may not require the payment of interest.

f. Guaranteed/Insured Loans: Programs in which the Federal government makes an arrangement to identify a lender against part or all of any defaults by those responsible for repayment of loans.

g. Insurance: Financial assistance provided to assure reimbursement for losses sustained under specified conditions. Coverage may be provided directly by the Federal government or through private carriers and may or may not involve the payment of premiums.

2. Non-financial Assistance Programs:

a. Sale, Exchange, or Donation of Property and Goods: The sale, exchange, or donation of Federal real property, personal property, commodities, and other goods including land, buildings, equipment, food and drugs. This does not include the loan of, use of, or access to Federal facilities or property.

b. Use of Property, Facilities, and Equipment: The loan of, use of, or access to Federal facilities or property wherein the federally owned facilities or property do not remain in the possession of the recipient of the assistance.

c. Provision of Specialized Services: The provision of Federal personnel directly to perform certain tasks for the benefit of communities or individuals. These services may be performed in conjunction with nonfederal personnel, but they involve more than consultation, advice, or counseling.

d. Advisory Services and Counseling: The provision of Federal specialists to consult, advise, or counsel communities or individuals including conferences, workshops, or personal contacts. This may involve the use of published information, but only in a secondary capacity.

e. Dissemination of Technical Information: The publication and distribution of information or data of a specialized or technical nature frequently through clearinghouses or libraries. This does not include conventional public information services designed for general public consumption.

f. Training: Instructional activities conducted directly by a Federal agency for individuals not employed by the Federal government.

g. Investigation of Complaints: Federal administrative agency activities that are initiated in response to requests, either formal or informal, to examine or investigate claims of violations of Federal statutes, policies, or procedure. The origination of such claims must come from outside the Federal government.

h. Federal Employment: Programs which reflect the Government-wide responsibilities of the Office of Personnel Management in the recruitment and hiring of Federal civilian agency personnel.

3. Other Types of Assistance: There may be programs that are not adequately represented by the 15 standard types of assistance listed above. Program Offices are encouraged to submit information on types of assistance that are different from those in the Catalog. The definition of the type of assistance should be submitted and include: (1) whether the assistance is financial or non-financial; (2) what is provided in the assistance; and (3) the specific applicant or target group.

V. Responsibilities

- A. **The Chief Procurement Officer, Grant Policy and Oversight Office** shall be the Point of Contact for assigning CFDA numbers and processing CFDA program descriptions with the GSA. This office will coordinate the CFDA process with the Directorates and Organizational Elements CFDA Coordinators and submit program descriptions through the CFDA portal to the GSA. The Grant Policy and Oversight Office shall assign new CFDA numbers when the program descriptions are finalized and ready to submit to GSA.
- B. **DHS Directorates and OEs** shall designate a CFDA Coordinator to collect, review and submit program descriptions and program description updates within their Directorate or OE to the Grant Policy and Oversight Office.
- C. **DHS Directorate and OE program offices**, with direct responsibility to award and manage grants, cooperative agreements and other assistance programs, shall submit new program descriptions and updated program descriptions to the Directorate or OE CFDA Coordinator for review and transmittal to the Grant Policy and Oversight Office.

VI. Policy & Procedures

- A. **Policy:** Effective May 1, 2004, all DHS programs that generate grant awards, cooperative agreements or other assistance will have a CFDA number assigned to the program. No DHS grant award, cooperative agreement or other assistance program will be funded without a CFDA number.
- B. **Procedures:**
1. DHS program offices should review all assistance programs, including programs that have been funded under designated "earmark" appropriations, to assure that the programs have been assigned a CFDA number, or have been included under an existing CFDA number. If existing programs, or grant awards/cooperative agreements, do not have CFDA numbers, the program office, through their CFDA Coordinator, must request a CFDA number by submitting a program description to the Grant Policy and Oversight Office for processing to GSA, or the program office must include the program under an existing number and identify the program and number to the Grant Policy and Oversight Office for CFDA program tracking.

2. DHS program offices responsible for the design of new programs that generate grant awards, cooperative agreements, or other assistance to non-federal entities must submit a program description to the Directorate's or OE's CFDA Coordinator to process the request for a CFDA number for the program. Attachment 1 contains a copy of the GSA/CFDA Reference Manual which provides application instructions. The program description must be submitted in the required CFDA program description format (Attachment 2), and must be submitted via electronic mail. No paper requests/submissions will be accepted.

3. The Directorate or OE CFDA Coordinator will review the program description, negotiate revisions with the program office, and submit the document to the Grant Policy and Oversight Office CFDA Coordinator for processing to GSA.

4. The Grant Policy and Oversight Office will assign a CFDA number and submit the program description to the GSA CFDA office via the CFDA portal.

5. All program application guidance, award documents, and other official documentation related to the program or grants, cooperative agreements, or other assistance must include a reference to the CFDA number.

C. **Questions or Concerns Regarding the Process.** Questions or concerns regarding this directive should be addressed to Office of the Under Secretary for Management, Chief Procurement Office, Grant Policy and Oversight Office.